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1. Construction of diffeomorphisms

Let X be a simply connected smooth compact complex algebraic surface with quadratic intersection form $q_X: H_2(X, \mathbb{Z}) \to \mathbb{Z}$ and canonical class $k_X \in H^2(X, \mathbb{Z}) = \operatorname{Hom}(H_2(X, \mathbb{Z}), \mathbb{Z})$. The second homology group $H_2(X, \mathbb{Z})$ endowed with the quadratic form q_X forms a lattice which we denote by L. Let O(L) be the corresponding group of isometries.

We introduce some notation: Let $b_2^+(X)$ denote the dimension of any maximal subspace of $L_{\mathbf{R}} = L \otimes \mathbf{R}$ on which q_X is positive definite. Note that $b_2^+(X) = 2p_g(X) + 1$ where $p_g(X)$ is the geometric genus of X. The set of all oriented maximal positive definite subspaces of $L_{\mathbf{R}}$ forms an open subset Ω of the Grassmannian $G^{\mathrm{or}}(b_2^+(X), L_{\mathbf{R}})$ of oriented $b_2^+(X)$ -dimensional subspaces of the vector space $L_{\mathbf{R}}$. It has two components if q_X is indefinite. We define O'(L) to be the subgroup of O(L) consisting of those automorphisms which leave each component of Ω invariant. (For an equivalent definition of O'(L) see [E2, 4.1].) Let $O_k(L)$ be the subgroup of O(L) consisting of automorphisms preserving $k = k_X$. Finally we define $O'_k(L) := O_k(L) \cap O'(L)$.

An important subset of $\operatorname{Diff}_+(X)$ is the set of classes of diffeomorphisms obtained by monodromy transformations of a smooth family containing X as a fibre. By a smooth family we mean a smooth (in the analytic category) proper holomorphic mapping $\pi \colon \mathscr{U} \to T$ of connected complex spaces \mathscr{U} and T; π is the projection of a locally trivial differentiable fibre bundle, so that for a point $t_0 \in T$ with $X = \pi^{-1}(t_0)$ there is a monodromy representation $\rho \colon \pi_1(T, t_0) \to \operatorname{Diff}_+(X)$. The image Γ of $\psi \circ \rho$ in O(L) is called the monodromy group of the smooth family. The monodromy group preserves k_X . It also preserves the components of Ω : to see this consider a loop τ representing an element in $\pi_1(T, t_0)$ and let $g_t \colon X_{t_0} = X \to X_t$ be the diffeomorphisms corresponding to $t \in \tau$. The mapping $t \mapsto (g_t)_*(\alpha) \in G^{\operatorname{or}}(b_2^+(X), L_R)$ is continuous for every $\alpha \in \Omega$, hence $\Gamma \subset O_k'(L)$.

For certain algebraic surfaces there exist smooth families whose monodromy group is the whole group $O'_k(L)$. This is summarized in the

following theorem. Among these surfaces there are certain iterated ramified coverings of $\mathbf{P}^1 \times \mathbf{P}^1$ or \mathbf{P}^2 which were studied by Moishezon [M] and Salvetti [S]: Let $(n_1, ..., n_r)$ be a sequence of positive integers. For Moishezon's construction, let $X_0 = \mathbf{P}^1 \times \mathbf{P}^1$ and let $C \subset \mathbf{P}^1 \times \mathbf{P}^1$ be the divisor $\{pt\} \times \mathbf{P}^1 + \mathbf{P}^1 \times \{pt\}$. Construct a sequence $\beta_i : X_i \to X_{i-1}$ of cyclic coverings β_i of degree 3 with nonsingular branch locus linearly equivalent to $(\beta_{i-1} \circ ... \circ \beta_1)^*(3n_iC)$. Let $X_r = X_r(n_1, ..., n_r)$. We call a surface $X_r(n_1, ..., n_r)$ with $n_i \ge 2$ for some $i, 1 \le i \le r$, (cf. [M, §4, Remark 3]) a Moishezon surface. For Salvetti's construction we need in addition to $(n_1, ..., n_r)$ a sequence $(d_1, ..., d_r)$ of positive integers satisfying $d_i \mid n_i$ for all i = 1, ..., r. Let $Y_0 = \mathbf{P}^2$, and choose smooth curves $C_i \subset \mathbf{P}^2$ of degree n_i , i = 1, ..., r, so that $C := C_1 \cup ... \cup C_r$ has only normal crossings. Construct a sequence $\beta_i \colon Y_i \to Y_{i-1}$ of cyclic coverings β_i of degree d_i ramified over $(\beta_{i-1} \circ ... \circ \beta_1)^*(C_i)$. A Salvetti surface is a surface $Y_r = Y_r(n_1, ..., n_r; d_1, ..., d_r)$, if at least one $n_i > 5$ with the corresponding $d_i \ge 3$ (cf. [S, Corollary to Proposition 2]).

THEOREM 1. Let X be a simply connected algebraic surface with $p_g(X) > 0$, and suppose that X is either

- (i) a complete intersection, or
- (ii) a Moishezon or Salvetti surface.

Then there is a smooth family $\pi: \mathscr{E} \to T$ with $\pi^{-1}(t_0) = X$ for some $t_0 \in T$ with monodromy group

$$\Gamma = O'_k(L) \ .$$

For complete intersection surfaces this is proved in [B, E2, E3], for Moishezon surfaces see [M], and for Salvetti surfaces see [S], together with [EO, Theorem 2.5 and §1].

Next we construct an orientation preserving diffeomorphism $\sigma: X \to X$ with $\sigma^*(k_X) = -k_X$. Suppose X is embedded in a complex projective space \mathbf{P}^N so that X is the zero locus of a finite set $\{f_1, ..., f_M\}$ of homogeneous polynomials in the coordinates $z_0, ..., z_N$ of \mathbf{P}^N .

Denote by $\sigma: \mathbb{C} \to \mathbb{C}$ complex conjugation, and let $X^{\sigma} \subset \mathbb{P}^{N}$ be the zero locus of $\{f_{1}^{\sigma}, ..., f_{M}^{\sigma}\}$, where f_{i}^{σ} is obtained from f_{i} by applying σ to all the coefficients. Then $\sigma: \mathbb{P}^{N} \to \mathbb{P}^{N}$ induces a diffeomorphism $X \to X^{\sigma}$, also denoted by σ , which satisfies $\sigma^{*}(k_{X^{\sigma}}) = -k_{X}$. If X is given by real equations $f_{1}, ..., f_{M}$, then $\sigma: X \to X^{\sigma} = X$ is a self-diffeomorphism of X. Such equations can be found if X is a complete intersection and if X is a

Moishezon or Salvetti surface. (In the latter case the branch locus must be given by real equations.)

Therefore we have:

COROLLARY 2. Let X be an algebraic surface as in Theorem 1. Then $O'_k(L) \cdot \{\sigma_*, \mathrm{id}\} \subset \psi(\mathrm{Diff}_+(X))$.

2. INVARIANCE OF THE CANONICAL CLASS

S. K. Donaldson [D] has defined a series of invariants for certain smooth 4-manifolds. They are in particular defined for simply connected algebraic surfaces X with $p_g(X) > 0$. We assume from now on that X is such a surface. There are two types of invariants according to the gauge group being SU(2) or SO(3).

Let us first recall the SU(2)-case. Principal SU(2)-bundles over X are classified by their second Chern class $c_2(P)$. For each $l > l_0$, using such a bundle with $c_2(P) = l$, Donaldson defines a polynomial

$$\Phi_l(X)$$
: Sym^d(L) \rightarrow **Z**

of degree $d = d(l) = 4l - 3(p_g(X) + 1)$, which depends only on the underlying C^{∞} -structure of X and is invariant up to sign under $\psi(\text{Diff}_+(X))$. Donaldson shows that these invariants are nontrivial for all sufficiently large l [D].

We will need the slightly more complicated SO(3)-invariants. The simple Lie group SO(3) is isomorphic to PU(2), so that one has an exact sequence

$$1 \to S^1 \to U(2) \to SO(3) \to 1 \ .$$

Let P be a principal SO(3)-bundle over X. Such a bundle has two characteristic classes which determine it up to isomorphism: the second Stiefel-Whitney class $w_2(P) \in H^2(X, \mathbb{Z}/2)$ and the first Pontryagin class $p_1(P) \in H^4(X, \mathbb{Z})$.

Suppose that $w_2(P)$ is nonzero and choose an integral lifting c of $w_2(P)$, i.e. $c \in H^2(X, \mathbb{Z})$, $\bar{c} = w_2(P)$ (here \bar{c} means the reduction of c modulo 2). Such a lifting exists since X is simply connected, and determines a U(2)-lifting \hat{P} of P, i.e. a U(2)-bundle \hat{P} with $\hat{P}/S^1 = P$ and with $c = c_1(\hat{P})$ [HH]. The Chern classes of \hat{P} are related to the characteristic classes of P by $w_2(P) = \bar{c}_1(\hat{P})$ and $p_1(P) = c_1^2(\hat{P}) - 4c_2(\hat{P})$. In addition to this choose an element $\alpha \in \Omega$. Donaldson shows that these choices give rise to a polynomial

$$\Phi_{c,a,P}(X)$$
: Sym $d(L) \to \mathbb{Z}$